

## FEES AND LEVIES 2017/18– REQUEST FOR FEE-TARIFF DATA

### Fee-blocks A013 and I008/9

<b>FCA</b>	<b>Tariff base</b>	<b>Annual income - investment mediation (investment and life &amp; pensions business)</b>
<b>FOS</b>	<b>Tariff base</b>	<b>Relevant annual income - investment mediation (investment and life &amp; pensions business)</b>
<b>FCA/FOS</b>	<b>Valuation date</b>	<b>For financial year ended in the calendar year ending 31 December 2016</b>

We need fees and levies information to calculate the fees payable by the firm in respect of the Financial Conduct Authority (FCA) Money Advice Services (MAS) and the Financial Ombudsman Service (FOS). We provide separate guidance for data relevant to the [FSCS levies](#).

This guidance sheet provides details on the data to include within the firm's fee tariff data form. We have given links to relevant parts of the Handbook to help you complete the form correctly. This sheet covers the following fee-blocks:

- **FCA fee-block A013**
- **FOS industry block I009**

For more information on this, including which regulated activities place firms into the above fee-blocks, please refer to the Fees manual ([FEES](#)) of our FSA Handbook.

#### FCA fee-block: A013 - advisors arrangers, dealers or brokers

#### **Tariff base - annual income for your financial year ended in 2016**

From time to time we may make changes to our fee-blocks and tariff bases. Before completing the forms, refer to [latest publications](#) on fees policy proposals to see if any changes affect reporting your fee tariff data.

Annual income is defined in [FEES 4 Annex 11AR](#); guidance is set out in [FEES 4 Annex 13G](#)

***Note: The annual income submitted for fee block A13 should not include the following 1) income for corporate finance business (fee block A014) 2) investment management (fee block A007). 3) income in relation to their safeguarding or administering assets or holding client money permissions (fee block A021). Refer to A014 / A007/A021 guidance when completing the fee tariff data for these fee blocks.***

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## FEES AND LEVIES 2017/18– REQUEST FOR FEE-TARIFF DATA

### FOS Industry Block: I009 – Advisory arrangers, dealers or brokers (NOT holding or controlling client money and/or assets)

Tariff Base - Relevant Annual Income for your financial year ended in 2016

or

### FOS industry block: I008 – advisory arrangers, dealers or brokers (holding or controlling client money and/or assets)

Tariff Base - Relevant Annual Income for your financial year ended in 2016

Firms in industry block I008 must include annual income in relation to their safeguarding or administering assets or holding client money permissions.

The FOS levy is based on business done with consumers and which is subject to the jurisdiction of the Financial Ombudsman Service (see [DISP 2.3](#)) only include income that will perform the above customer functions with consumers in relation to business that is subject to the jurisdiction of the Financial Ombudsman Service

If the firm has a valid FOS exemption as notified on the fee tariff data form no data is required.

### IMPORTANT

**You must return the information to our Revenue Operations department by the date shown on the front of your tariff data letter. Return paper forms by post or email via the contact details below or submit the data on line.**

#### **Before submission please ensure:**

- FOS tariff data has been completed and is in British £.
- You have completed and totalled all sections.
- Do not leave blanks (please enter 'NIL' on the paper form or alternatively '0' when submitting on line where applicable).
- The tariff data form has been signed off at the appropriate level of seniority, e.g. compliance director, and dated before submitting to us.
- EEA BRANCHES ONLY – If your firm is not conducting any regulated activities in the UK that place your firm in this fee-block, please indicate this when returning your paper form or if submitting the form on line you must email [feetariffreturns@fca.org.uk](mailto:feetariffreturns@fca.org.uk) stating which of these are not applicable. We will update your online form to reflect this so you can submit your return.

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